



01/11/02  
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Date of Deposit: January 11, 2002

A  
Attorney Docket No. 24631-501

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FIRST-NAMED INVENTOR OR  
APPLICATION IDENTIFIER:

FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL  
PRODUCTS OVER A COMPUTER NETWORK

JCE921 U.S. PRO  
10/04/3899  
01/11/02

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

January 11, 2002  
Boston, Massachusetts

### REQUEST FOR FILING A NEW NONPROVISIONAL APPLICATION UNDER 37 C.F.R. §1.53(b)

1. This is a request for filing a new nonprovisional application under 37 C.F.R. §1.53(b).
2.  Specification and Drawings (Total pages: 64);  
Specification (31 pages); Claims (15 pages); Abstract (1 page); and  
Drawings: 17 sheets; FIGS. 1-18.  
 Formal  
 Informal
3.  Declaration and Power of Attorney  
 Unsigned  
 Signed
4.  Information Disclosure Statement (IDS)  
 Copy of IDS and PTO-1449 (   pages)  
 Copies of references cited
5.  Assignment Papers  
 Recordation Form Cover Sheet (PTO-1595)  
 Assignment Document
6.  Statement Claiming Small Entity Status  
 Claiming Small Entity As Independent Inventor (37 C.F.R. §§1.9(f) & 1.27(b)).  
 Claiming Small Entity As Small Business Concern (37 C.F.R. §§1.9(f) & 1.27(c)).  
 Claiming Small Entity As Nonprofit Organization (37 C.F.R. §§1.9(f) & 1.27(d)).

FIRST-NAMED INVENTOR OR            HARRY A. KAPLAN et al.  
APPLICATION IDENTIFIER:             
Request for New Nonprovisional Application (37 C.F.R. §1.53(b))

7. Fee Calculation

CLAIMS AS FILED					
Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) \$740.00
Total Claims (37 C.F.R. 1.16(c))	62	- 20 =	42	\$18.00	\$756.00
Independent Claims (37 C.F.R. 1.16(b))	13	- 3 =	10	\$84.00	\$840.00
Multiple Dependent Claim(s), if any (37 C.F.R. 1.16(d))				\$280.00	
				SUBTOTAL:	\$2336.00
				Reduction by 50% for filing by small entity:	- \$1168.00
				<b>TOTAL FEE:</b>	<b>\$1168.00</b>

8.  A check in the amount of **\$1168.00** is enclosed.

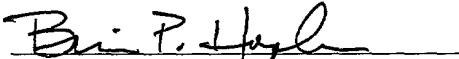
9.  The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50-0311, Ref. No. 24631-501:

Fees required under 37 C.F.R. §1.16;  
     Fees required under 37 C.F.R. §1.17;  
     Fees required under 37 C.F.R. §1.18.

10.  Return Receipt Postcard Enclosed.

11.  Other Documents Enclosed:  
     Check for \$ 40.00 for recordation of assignment.

Respectfully submitted,



Brian P. Hopkins, Reg. No. 42,669  
Attorney for Applicants  
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Dated: January 11, 2002